

**State of Alabama
Alabama Department of Economic and
Community Affairs**

Community and Economic Development Division



Community Services Block Grant Program

**Application and Two Year State Plan
FY 2015 and FY 2016**

**Robert Bentley
Governor**

**Jim Byard, Jr.
Director
Alabama Department of Economic and Community Affairs**

OFFICE OF THE GOVERNOR

ROBERT BENTLEY
GOVERNOR



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STATE OF ALABAMA

August 5, 2014

Ms. Jeannie Chaffin, Director
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade S.W., 5th Floor West
Washington, DC 20447

Dear Ms. Chaffin:

Pursuant to Title 45, Part 96.10(b) of the Code of Federal Regulations, I hereby delegate signature authority to Jim Byard, Jr., Director of the State of Alabama's Department of Economic and Community Affairs, for the purpose of submitting the State's application and plan for Fiscal Years 2015 and 2016 and certifying compliance with any federal assurances relating to the Community Services Block Grant.

Thank you for your attention to this matter.

Sincerely,

A handwritten signature in black ink that reads "Robert Bentley". The signature is written in a cursive style with a large, stylized "R" and "B".

Robert Bentley
Governor

RB:JB:bs

OFFICE OF THE GOVERNOR

ROBERT BENTLEY
GOVERNOR



STATE OF ALABAMA

ALABAMA DEPARTMENT OF ECONOMIC
AND COMMUNITY AFFAIRS

JIM BYARD, JR.
DIRECTOR

August 5, 2014

Ms. Jeannie Chaffin, Director
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade S.W., 5th Floor West
Washington, DC 20447

Dear Ms. Chaffin:

In accordance with Alabama Code §§ 41-23-1 through 41-23-8 (2000), the Alabama Department of Economic and Community Affairs agrees to comply with the provisions of the Community Services Block Grant Act (42 U.S.C. 9901 et. seq.) as amended. The Alabama Community Services Block Grant State Plan is being submitted electronically through the Administration for Children and Families' Online Data Collection System. The certifications, documents and description of the activities to be carried out to enhance the self-sufficiency of low-income individuals and families in Alabama addresses each of the requirements of the Community Services Block Grant Act, as amended. Community Services Block Grant funds will be allocated to community action agencies in accordance with Alabama Code §§ 11-96-1 through 11-96-6 (1994).

Should you need any additional information, you may contact Rhoda Talley, CSBG Program Manager, at (334) 242-5412 or email rhoda.talley@adeca.alabama.gov.

Sincerely,

A blue ink signature of Jim Byard, Jr. is written over a horizontal line.

Jim Byard, Jr.
Director

JB:RT:bs

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I. Federal Fiscal Year or Years Covered by this State Plan and Application

Alabama's FY 2015 and FY 2016 Community Services Block Grant State Plan describe how the Community Services Block Grant (CSBG) program operates within Alabama. The Plan describes how the State collects and analyzes client information and outcomes. The Plan also describes the local service delivery as well as program needs and priorities.

II. Letter of Transmittal

A cover letter is included with the State Plan and will be submitted to the Office of Community Services (OCS) by September 1, 2014. Also included is a form identifying the State CSBG Program contact person and the State CSBG official who is to receive the CSBG grant award with complete address, telephone and fax numbers.

III. Executive Summary

A. CSBG State Legislation

Alabama statutory authority for the CSBG program is identified in Code of Alabama §§ 11-96-1 through 11-96-6. See appendix A. The statutes define a community action program as a community-based and operated program which includes or is designated to include a sufficient number of projects of components to provide, in sum, a range of services and activities having a measurable and potentially major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem. The statute also restates community action program services and activities as outlined in Federal Statute. In addition the statutes provide a definition for Community Action Agency, addresses the composition of the board of directors and the appropriation of funds received through the Community Services Block Grant Act.

B. Designation of Lead State Agency to Administer the CSBG Program

The Legislature of Alabama designated the Alabama Department of Economic and Community Affairs (ADECA) to be the lead agency to administer the Community Services Block Grant in Alabama Code §§ 41-23-1 through 41-23-8. See Appendix B.

Director/Administrator of Designated State Agency; Jim Byard, Jr. Letter of appointment and ADECA's organization chart is attached in Appendix C.

C. Public Hearing Requirements

- (1) **Public Hearing:** A public hearing to discuss the proposed Community Services Block Grant State Plan and Application was held in Montgomery, Alabama on July 28, 2014, at the Alabama Center for Commerce Building, 401 Adams Avenue. The notice for the meeting was e-mailed to the twenty-one eligible entities for posting at each of their service center sites (located in all sixty-seven counties), to all mayors through the Alabama League of Municipalities, and to each of the 67 County Administrators in the state. In addition, a notice of the meeting was placed on the Alabama Secretary of State's Office website, www.openmeetings.alabama.gov/generalpublic/publicdefault.aspx, as well as on ADECA's website, www.adeca.alabama.gov/Divisions/ced/csbgr.

The documentation pertaining to the public hearing is attached in Appendix D.

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- (2) **Legislative Hearing:** A Legislative Hearing was conducted on August 7, 2014, with the ADECA Legislative Oversight Committee, at the Alabama State House, 11 South Union Street in Montgomery, Alabama. A Notice of the meeting was provided to the community action network and made available to the public through the Alabama Secretary of State's Office website and ADECA's website. The sign-in sheets and minutes of the meeting are attached in Appendix E.
- (3) **Public Inspection of State Plan:** ADECA has made the CSBG State Plan for Fiscal Years 2015 and 2016 available for public inspection and comments by placing a notice of its availability for review at the public hearing, on ADECA's website, www.adeca.alabama.gov/Divisions/ced/csbg.

IV. Statement of Federal and CSBG Assurances

As part of the biannual application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq), the Alabama Department of Economic and Community Affairs, acting as the lead agency for the administration of the CSBG, hereby agrees to the Assurances in Section 676 of the Act:

(A) Programmatic Assurances

- (1) Funds made available through the grant or allotment will be used:
 - a. To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals to:
 - i. Remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - ii. Secure and retain meaningful employment;
 - iii. Attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - iv. Make better use of available income;
 - v. Obtain and maintain adequate housing and a suitable living environment;
 - vi. Obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - vii. Achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners, to
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
 - b. To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as:

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- i. programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - ii. after-school child care programs; and
- c. To make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts);
- (2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program. ['676(b)(1)]
- (3) To provide information provided by eligible entities in the State, containing:
 - (a) A description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
 - (b) A description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations;
 - (c) A description of how funds made available through grants made under section 675C(a) of the Act will be coordinated with other public and private resources; and
 - (d) A description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]
- (4) To assure that the eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. ['676(b)(4)]
- (5) That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and the State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998. ['676(b)(5)]
- (6) To assure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community. ['676(b)(6)]
- (7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(1)]
- (8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b) of the Act. ['676(b)(8)]
- (9) That the State and the eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. ['676(b)(9)]
- (10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. ['676(b)(10)]

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- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs. ['676(b)(11)]
- (12) That the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b) of the Act. ['676(b)(12)]
- (13) To provide information describing how the State will carry out the assurances ['676(b)(13)] See Section V for State's Narrative Plan.

B. Administrative and Financial Assurances

The State further agrees to the following administrative assurances, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['676A(b)]
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. ['675C(a)(1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute the recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, non-profit organization located within the community served by the original recipient of the funds for activities consistent with the purposes of the community services block grant program. ['675C(a)(3)]
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]
- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or 675B for the period covered by the State plan. ['676(a)(2)(B)]
- (7) That the chief executive officer of the State will designate, an appropriate state agency for purposes of carrying out State community services block grant program activities. ['675(a)(1)]
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the State Plan ['676(a)(3)];
- (9) To make available for the public inspection each plan or revised State Plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)];
- (10) To conduct the following reviews of eligible entities:
 - a. full onsite review of each such entity at least once during each three-year period;
 - b. an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;

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- c. follow-up reviews including prompt return visits to eligible entities and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - d. other reviews, as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. [‘678B(a)]
- (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act to:
- a. inform the entity of the deficiency to be corrected;
 - b. require the entity to correct the deficiency;
 - c. offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - d. at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
 - e. after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [‘678C(a)]
- (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
- (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. [‘678D(a)(3)]
- (14) To participate, by October 1, 2001, and ensure that all eligible entities in the State participate in the Results-Oriented-Management and Accountability (ROMA) System. [678E(a)(1)]
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under 678E(a)(2) of the Act.
- (16) To comply with the prohibition against use of Community Services Block Grant funds for the purchase or improvement of land, or the purchase, construction, or permanent (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678(a) of the Act.
- (17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [‘678F(b)].
- (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42U.S.C.6101et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1974 (29U.S.C.12131 et seq.) shall also apply to any such program or activity. [‘678F(c)]
- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the community

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services block grant program on the basis that the organization as a religious character; and not to require a religious organization to alter its form of internal government except as provided under 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program.[‘679]

C. Other Administrative Certifications

The State also certifies the following:

- (1) To provide assurance that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds;
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children’s services and that all subgrantees shall certify accordingly.

*Signature (indicates the sign off of assurances in previous Section IV)


for Jim Byard, Jr., Director
Alabama Department of Economic and Community Affairs

8.21.14
Date

V. The Narrative State Plan

A. Administrative Structure

(1) State Administrative Agency

The Alabama Department of Economic and Community Affairs was created by the Legislature in 1983 to consolidate a range of economic-planning and federal grant programs under one agency. The department's mission is to build better Alabama communities through a broad range of grants, incentives and programs aimed at community development.

The creation of ADECA brought five separate state offices under one roof: the Office of State Planning, the Department of Energy, Law Enforcement Planning Agency, Office of Highway and Traffic Safety and the Office of Employment and Training. The purpose of this consolidation was to "encourage comprehensive and coordinated planning and programming of economic and community affairs."

ADECA provides a single location where local governments and non-profit agencies can come for assistance with community and economic development issues. Working together, the divisions and programs of ADECA focus available resources to address the many challenges that confront Alabama communities.

Through the years, ADECA has been responsible for a diverse range of programs that support economic development, infrastructure construction, law enforcement operations, workforce development, enhancement of community life, energy conservation, recreation and more. These programs have the common purpose of strengthening the capacity of communities to develop economically, improving the quality of life of Alabama citizens.

To manage ADECA, the Legislature provided for a Director who serves at the pleasure of the Governor. The department is divided into divisions that are managed by division chiefs hired under the state merit system. Each year, the department's staff of about 200 administers more than \$200 million in federal and state funds.

There are seven divisions that make up ADECA:

- The Community and Economic Development Division oversees Community Development Block Grants which support local efforts to attract and prepare for new or expanding industries, rehabilitate neighborhoods, provide water and sewer service or fund other infrastructure improvements that support business development or enhance the quality of life.

This division also oversees grants to increase outdoor recreational opportunities through the construction of new trails and park features. Grants from the Appalachian Regional Commission encourage economic development and improve the quality of life of Alabamians living within 37 North Alabama counties considered part of the Appalachian mountain range. Community Service Block Grants help thousands of low-income residents achieve a better quality of life. Delta Regional Authority Grants help encourage the development of new jobs and help with community improvements in a rural region that includes 20

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counties in south Alabama. The Connecting Alabama Broadband Initiative is focused on expanding the availability of high-speed Internet in underserved rural areas of the state.

- The Office of Workforce Development Division focuses on career development and job training programs as it partners with employers to encourage economic development and prepare workers for stable and higher paying jobs. OWD coordinates federal job training programs that help companies identify skilled workers and give Alabamians the tools they need to further their careers.
- The Energy Division promotes energy efficiency and manages programs to reduce energy expenditures, encourage use of alternative energy sources, and help low-income families with heating and cooling costs. The division administers loan programs that assist local governments and state industries to install energy efficiency measures.
- The Law Enforcement and Traffic Safety Division - federal funding for victims' services, law enforcement, juvenile justice, and traffic safety programs. It provides support for drug task forces, domestic violence units, child advocacy centers, and programs to help children avoid drugs and violence. The division also promotes the use of seat belts and combats impaired driving by funding increased patrols and public awareness campaigns such as Click It or Ticket and the Yellow Dot programs.
- The Office of Water Resources administers programs for river-basin management, river assessment, water-supply assistance, water conservation, and water-resources development. The division also administers floodplain management in the state, overseeing the federal flood insurance program and updating flood insurance maps. OWR provides technical advice and analysis in support of any litigation relating to water interests shared with other states.
- The Surplus Property Division sells surplus property from state agencies that participate in the state property program. It also sells federal surplus property allocated to the state from military bases and federal agencies. State, county, and local governments and many non-profit organizations are given first opportunity to purchase the property, often with significant savings to their budgets.
- The Communications and Information Division handles ADECA's public information and public relations needs, serving as the contact for citizens and the news media. The division prepares and distributes media releases about grants and other departmental activities, prepares publications and graphic arts projects, and serves as the state's liaison to the U.S. Census Bureau.

(2) Eligible Entities

There are currently 21 eligible entities in the State of Alabama. Low-income persons in all of Alabama's 67 counties are served by these 21 eligible entities.

- (a) A list of eligible entities is included in Appendix F.
- (b) A map showing the counties covered by each eligible entity is included in Appendix G.

(3) Distribution and Allocation of Funds

Alabama Code § 11-96-1 through § 11-96-6 currently requires ADECA to provide 95% of its CSBG funds to the eligible entities. Proposed distribution of CSBG Funds for FY 2015 and FY 2016 (These levels are based on FY 2014 CSBG award). See Appendix H.

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B. Description of Criteria and Distribution Formula

CSBG Funds will be distributed through 21 eligible entities in accordance with both the Alabama Code and the CSBG Act utilizing the current poverty guidelines and the 2010 census data. As stated, current law requires that 95 percent of the allocation be passed through low-income persons in accordance with poverty guidelines.

C. Description of Distribution and Use of Restricted Funds

95 percent of the FY 2015 and FY 2016 CSBG funds will be distributed to the State's 21 eligible entities. The eligible entities are required to use the CSBG funds for the purposes stated within the CSBG Act. See Appendix H for a listing of agencies and proposed funding levels. The CSBG funds are awarded to eligible entities on a 15 month basis (additional 3 months if needed); therefore the State does not anticipate the recapture and redistribution of CSBG funds.

Fund Category	FY 2015/2016 Proposed Allocations
Restricted (eligible entities)	11,580,709
Discretionary	0
Administrative (5%)	609,507
Total CSBG	12,190,216

D. Description of Distribution and Use of Discretionary Funds

Due to the current language in Alabama Code § 11-96-1, there are no discretionary funds for the State to use.

E. Description of Use of Administrative Funds

Section 675(b)(2) of the CSBG Act specifies that no state may use more than the greater of \$55,000 or five percent of its grant or allotment for administration, to include monitoring activities. ADECA will retain five percent to be used for monitoring, technical assistance, training of State and eligible entity staff, invoice review and indirect costs. See Appendix I for the CSBG Program's complete budget.

The State does not have a Charity Tax Credit Program.

F. State Community Services Program Implementation

(1) Program Overview

The following information was provided to the State by eligible entities in a meeting held at the Alabama Center for Commerce Building, 401 Adams Avenue, Montgomery, Alabama. The meeting announcement, agenda, and sign-in sheets are attached in Appendix J.

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Each eligible entity submits a Community Action Plan to the CSBG unit as part of the contracting process. A meeting was held on July 22, 2014, with community action agency staff to provide an overview of the new Community Action Plan (CAP) packet.

Eligible entities will submit a one year CAP for FY 2015 which will include plans that identify the community needs based on current Community Needs Assessment. The CAP will also address causes of the identified needs, gaps in services available to address the needs, existing resources in the community, strategies or programs to address the need and Results Oriented Management and Accountability (ROMA) national goals and performance indicators impacted by the interventions. The entities will also develop implementation plans for the program or strategy that is identified in their plan. As part of the plan, eligible entities must:

- (a) Include information regarding their facilities and service delivery system.
- (b) Identify the types of organizations they use to link services to clients and coordinate/leverage funding to meet the needs of clients, including city and county governments, state agencies, faith-based organizations, and other non-profits.
- (c) Describe the process they utilize to establish and maintain links to avoid duplication of services to low-income individuals within their service area.
- (d) Describe how the agency will use CSBG funds to support specific community and/or neighborhood-based initiatives related to the purpose of CSBG.
- (e) Describe the programs that are provided by the agency, directly or through a referral, which help to reduce or eliminate barriers to initial or continuous employment for low-income persons. Entities must also describe how they will coordinate the provision of employment and training activities with local workforce investment systems under the Workforce Investment Act of 1998.
- (f) Provide a description of the strategy to respond to an emergency situation and how they will provide, on an emergency basis, supplies and services that may be necessary to counteract conditions of starvation and malnutrition among low-income individuals
- (g) Describe how the agency plans to address the needs of youth in low-income communities through youth development programs.
- (h) Describe how the agency plans to address the needs of seniors in low-income communities.

(2) Community Needs Assessment

The State will secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs (676(b)(11)). The State has conducted workshops for agency staff on the process of conducting community needs assessment and strategic planning.

A comprehensive community needs assessment (CNA) must be conducted by each agency at least every three years. The assessments must be reviewed and updated annually or when major changes occur within that agency's geographic service area (i.e., loss of major employer, natural

disaster, etc.) Copies of the comprehensive CNAs and annual updates must be submitted to the CSBG unit.

(3) Tripartite Board

Alabama's 21 CSBG eligible entities administer their CSBG programs under the direction and exclusive control of a tripartite governing board that fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities. Each of these boards was established in accordance with Alabama Code § 11-96-3 (1994) and the CSBG Act as amended.

“(a) PRIVATE NONPROFIT ENTITIES —

“(1) BOARD — In order for a private, nonprofit entity to be considered to be an eligible entity for purposes of section 673(1), the entity shall administer the community services block grant program through a tripartite board described in paragraph (2) that fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities.

“(2) SELECTION AND COMPOSITION OF BOARD — The members of the board referred to in paragraph (1) shall be selected by the entity and the board shall be composed so as to assure that —

“(A) 1/3 of the members of the board are elected public officials, holding office on the date of selection, or their representatives, except that if the number of such elected officials reasonably available and willing to serve on the board is less than 1/3 of the membership of the board, membership on the board of appointive public officials or their representatives may be counted in meeting such 1/3 requirement;

“(B)(i) not fewer than 1/3 of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representative of low-income individuals and families in the neighborhood served; and

“(ii) each representative of low-income individuals and families selected to represent a specific neighborhood within a community under clause (i) resides in the neighborhood represented by the member; and

“(C) the remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.

Tripartite board requirements are reviewed and documented during the monitoring process. On a monthly basis, CSBG program monitors review the agency's board information in FACSPRO, our internet-based tracking system, for compliance with policy. The monitoring tool, used by the CSBG program monitors during on-site reviews contains extensive questions related to board roles. If findings are found during the on-site review, a letter documenting the findings and outlining the actions needed to correct the findings is sent to the board chairperson and a copy is sent to the executive director.

(4) State Charity Tax Program

The State of Alabama does not have a state charity tax program.

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(5) Programmatic Assurances

Through their Community Action Plan and their annual CSBG IS Report, Alabama's community action agencies are required to provide information about how their programs, services, and activities align with one or more of the assurances listed below.

- (a) Assurance '676(b)(1): Funds made available through the grant or allotment will be used:
1. To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable families and individuals:
 - (i) To remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a state program carried out under Part A of Title IV of the Social Security Act);

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none">• Case Management• Family Support• Family/Individual Counseling Programs• Information and Referral• Purchase/Grants Assistance• Family Development/Intervention• Housing Assistance• Community Organization	<ul style="list-style-type: none">• Housing Assistance• Adult Education and Literacy• Partnerships• Emergency Crisis Assistance• Case Management• Information and Referral• Health Literacy• Financial Management• Transportation Programs• Inmate Re-entry• Child Care Assistance• Work Related expenses

- (ii) To secure and retain meaningful employment;

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

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Program Areas	Services and Activities
<ul style="list-style-type: none"> • Job Counseling • Job Placement/Development • Summer Youth Jobs • Skills training • Other Employment Services • Employment Supports • Information and Referral 	<ul style="list-style-type: none"> • Job Fairs • Transportation Assistance • Clothing Assistance • Information and Referral • Job Counseling • Energy Assistance • Skills Training • Adult Education and Literacy • Child Care • Health Care • Housing Assistance • Food Assistance • Computer Literacy • Credit Repair • Mentoring Program • Legal Assistance • Youth Entrepreneurship • Adult Entrepreneurship • Veterans' Services • Prison Re-entry

(iii) To attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"> • Counseling and Guidance • Public Education/Information • Child Care and Child Development • Adult Basic Education or GED Instruction • Other Instruction • Other Education Projects • Certification Programs • Information and Referral 	<ul style="list-style-type: none"> • Counseling for Youths and Young Adults • Educate public about problems and solutions of poverty in their communities • Child Care Assistance • Parenting Classes • Tutoring • Adult Basic Education • GED Assistance • Transportation for Education Participants • Adult Day Care • Information and Referral

(iv) To make better use of available income;

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The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"> Household Financial Counseling Income Tax Counseling Energy Conservation Other Projects Information and Referral 	<ul style="list-style-type: none"> Budget Counseling Credit Counseling Income Tax Preparation Energy Conservation Information and Referral Home Ownership Workshops Financial Literacy Classes

(v) To obtain and maintain adequate housing and a suitable living environment;

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"> Homeownership Counseling/Loan Assistance Other Housing Counseling and Landlord/Tenant Advocacy Home Repair/Rehabilitation Other Housing Projects Community Organization Information and Referral 	<ul style="list-style-type: none"> Housing Counseling Application Assistance Homeownership Counseling Minor Home Repairs Rent/Mortgage Assistance Develop Low-Income Housing in the Community Housing Rehab Housing Preservation Weatherization Housing Construction Information and Referral

(vi) To obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs;

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The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"> • Emergency Energy Support • Crisis Intervention • Donated Goods/Services • Homeless Aid • Emergency Rent or Mortgage Assistance • Emergency Car or Home repair • Emergency Medical Care • Emergency Disaster Relief • Emergency Clothing • Emergency Transportation • Emergency Legal Assistance • Emergency Food • Other Emergency Services • Information and Referral 	<ul style="list-style-type: none"> • Fuel/Utility Assistance • Temporary Shelter for Battered Women • Temporary Shelter • Rent/Mortgage Assistance • Car Repairs • Minor Home Repairs • Medical Assistance • Disaster Assistance • Clothing Assistance • Transportation Assistance • Legal Assistance • Food Vouchers/Food Boxes • Prescription Assistance • Emergency Storage • Disaster Housing Repairs • A/C and Heater Units (for elderly/disabled) • Funeral Expense • Mental Health Counseling • Information and Referral

- (vii) To achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies,
- local housing authorities, private foundations, and other public and private partners to –
- (I) Document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) Strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.

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The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Partnerships/Coalitions	Services and Activities
<ul style="list-style-type: none"> • Non-profit organizations • For-profit businesses • Faith Based Organizations • Head Start • Local Probation and Parole Offices • Career Centers • State, County and Local Governments • Schools and Colleges • Health Service Institutions • Financial/Banking Institutions • Consortiums/Collaborations • Law Enforcement • Day Care Group • Hospital Foundations • Court System • Legal Services • Mental Health Services • Credit Services • Homeless Service Providers 	<ul style="list-style-type: none"> • Disaster Assistance • Emergency Assistance • Employment Supports • Inmate Re-Entry • Health Fairs • Medical Assistance • Housing Counseling • Budget Counseling • Child Care • Job Development, Job Readiness, Job Placement • Parenting Skills • Job Fairs • Substance Abuse Counseling • Transportation • Credit Counseling • Yellow DOT • Long-range Strategic Planning

(2) To address the needs of youth in low –income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as-

- (i) Programs for the establishment of violence free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) After-school child care programs.

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The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none">• Summer Youth Jobs• Counseling and Guidance• Other Instruction• Summer Youth Recreation	<ul style="list-style-type: none">• Counseling to dropouts, assistance in seeking scholarships, etc.• Tutoring• Yes Ambassadors• Summer Youth Jobs• Summer Recreation• Clothing• Early Head Start• Job Readiness• GED• Youth Breakfast• Youth Entrepreneurship• Alcohol/Drug Prevention• Job Coaching• Scholarship Program• Middle School Programs• Intervention Programs (DOJ)• Mentoring• Youth Classes

(3) To make more effective use of, and to coordinate with, other programs related to the purposes of the community services block grant program (including State welfare reform efforts). The State's data system, FACSPRO, automatically generates a referral letter to the local child support office, if during intake, child support is not reported for a household with a single adult and minor children. If a household is not currently receiving benefits from Supplemental Nutrition Assistance Program (SNAP), they are referred to the local Department of Human Services office. These referrals will provide assistance for the households as they transition to self-sufficiency.

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The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Partnerships/Coalitions	Services and Activities
<ul style="list-style-type: none"> • Non-profit Organizations • For-profit businesses • Faith Based Organizations • Head Start/Other Day Care Groups • Local Probation and Parole Offices • Career Centers • State, County and Local Governments • Schools and Colleges • Health Service Institutions • Financial/Banking Institutions • Statewide • Associations/Collaborations • Consortiums/Collaborations • WIA Boards • Consumer Groups 	<ul style="list-style-type: none"> • Disaster Assistance • Emergency Assistance • Employment Supports • Inmate Re-Entry • Health Fairs • Medical Assistance • Housing Counseling • Budget Counseling • Child Care • Parenting Skills • Job Fairs • Job Development, Job Readiness, Job Placement

(b) An assurance that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. The State reviews, on a quarterly basis, outcomes reported for emergency services, as well as other service areas, for compliance with the submitted agency plans.

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"> • Food Pantries • Hot Meals • Garden Projects • Nutrition Education • Other Nutrition Projects • Information and Referral 	<ul style="list-style-type: none"> • Food Boxes/Food Bags • Meals on Wheels (hot/frozen meals) • Supply Individuals with Garden Seed/plants • Education on nutrition, diet and/or food preparation • Food Baskets for the poor • Information and Referral • Senior Nutrition • Community Gardens • Food Vouchers

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(c) Eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such service. State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Invest Act of 1998. The State's data system, FACSPRO, automatically generates a referral letter to Alabama's Career Center if, during intake, there is no income reported for an individual who is not disabled or elderly.

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas and Partnering Agencies	Services and Activities
<ul style="list-style-type: none"> • Job Counseling • Job Placement/Development • Summer Youth Jobs • Colleges/Technical Schools • Skills training • Other Employment Services • Employment Supports • Information and Referral • Job Planning and Coordination • Community Organizations • Advocacy • Regional Commissions • Faith-Based Organizations • Alabama Career Centers • State and Local Governments • WIA Boards • Housing Authorities • Housing Shelters 	<ul style="list-style-type: none"> • Job Fairs • Transportation Assistance • Clothing Assistance • Information and Referral • Job Counseling • Community Outreach • Skills Training • Adult Education and Literacy • Child Care • Health Care • Child Support • Advocacy • Energy Assistance • Housing Assistance • Food Assistance • Energy Assistance

(d) The State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities;

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

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Program Areas and Partnering Agencies	Services and Activities
<ul style="list-style-type: none"> • Emergency Energy Support • Crisis Intervention • Donated Goods/Services • Homeless Aid • Emergency Rent or Mortgage Assistance • Emergency Car or Home repair • Emergency Medical Care • Emergency Disaster Relief • Emergency Clothing • Emergency Transportation • Emergency Legal Assistance • Emergency Food • Other Emergency Services • Information and Referral • Interagency Planning and Coordination • Community Organizations • Advocacy • State and Local Governments • Non-profit Organizations • For-profit Businesses • Faith-based Organizations • Utility Companies • Healthcare Facilities/Pharmacies 	<ul style="list-style-type: none"> • Fuel/Utility Assistance • Temporary Shelter for Battered Women • Temporary Shelter • Rent/Mortgage Assistance • Car Repairs • Minor Home Repairs • Medical Assistance • Disaster Assistance • Clothing Assistance • Transportation Assistance • Legal Assistance • Food Vouchers/Food Boxes • Shelter Assistance • Information and Referral • Prescription Assistance • Storage Assistance

(e) The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Partnerships/Coalitions	Services and Activities
<ul style="list-style-type: none"> • Non-profit Organizations • For-profit Businesses • Faith Based Organizations • Head Start • Local Probation and Parole Offices • Career Centers • State, County and Local Governments • Schools and Colleges • Health Service Institutions • Financial/Banking Institutions 	<ul style="list-style-type: none"> • Disaster Assistance • Emergency Assistance • Employment Supports • Inmate Re-Entry • Health Fairs • Medical Assistance • Housing Counseling • Budget Counseling • Child Care • Job Development, Job Readiness, Job Placement

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<ul style="list-style-type: none">• Statewide Associations/Collaborations• Consortiums/Collaborations• Day Care Groups	<ul style="list-style-type: none">• Transportation• Parenting Skills• Job Fairs
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G. Fiscal Controls and Monitoring

(1) State Program Monitoring

- The CSBG Unit will, at a minimum, conduct an on-site review of each eligible entity at least once during a three-year period. The review will address prior review findings, agency eligibility, governance, planning process, fiscal, audit reports, program administration, personnel, ROMA implementation, data collection, and reported performance. In addition, at least once per year, CSBG program monitors will visit each agency to offer technical assistance and do a follow-up review of any findings noted in the monitoring visit. On a monthly basis, CSBG program monitors perform a desk audit of each agency. This review consists of reviewing budgets and expenditure reports, quarterly ROMA reports, board rosters, and board meeting minutes.
- An on-site review of a newly designated entity will be conducted immediately after the completion of the first six months in which such entity receives funds through the CSBG program. A subsequent visit will be conducted at the end of the first twelve months of operation.
- As noted above, all eligible entities are monitored at least once during a three-year period with at least one follow-up, technical assistance visit every year. Following the on-site review, a report shall be sent to the entities' board chairperson and copied to the executive director describing any deficiencies found with corrective action needed noted and any concerns and recommendation also noted. If there are significant findings, additional follow-up visits may be conducted.
- Additional on-site reviews will be conducted when specific concerns are identified that require attention or when an entity is placed on "high-risk". In addition to the on-site monitoring reviews, staff from ADECA's Audit Section performs periodic reviews in coordination with CSBG staff or at the request of ADECA's Director if other federal, state or local grants have had significant findings or have been terminated for cause.
- The eligible entities are required to submit an independent audit to ADECA's Audit Section within nine months after the end of their fiscal year. See Appendix K for the most recent date of the independent audit for each eligible entity.

(2) Corrective Action, Termination and Reduction of Funding

In the event that ADECA determines that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide services under the CSBG program or to meet appropriate standards, goals, and other requirements established by the federal and state government or ADECA policy (including performance objectives), ADECA will:

- Inform the entity of the deficiency to be corrected;
- Offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance was not appropriate;

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- (c) At the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan. ADECA may either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
- (d) If the deficiencies are not corrected, ADECA will notify the entity of its intent to reduce or terminate funding and the opportunity for a hearing on the impending action. After providing adequate notice along with an opportunity for a hearing, in accordance with State's Eligible Entity Fair Hearing Policy and Procedure (Assurance 676(b)(8)). See Appendix L. ADECA may proceed with termination or reduction procedures.

(3) Fiscal Controls, Audits, and Withholding

ADECA's CSBG unit requires sub-recipients to submit a monthly expenditure report and requests for reimbursements and/or advances of funds on a monthly basis. As specified in Section 678D of the Act, the State shall comply with the provisions of Chapter 75 of Title 31, United States Code (Single Audit Act) and its implementing regulation in the Office of Management and Budget (OMB) Circular A-133. The last single audit of the Alabama Department of Economic and Community Affairs was performed by the Alabama Department of Examiners of Public Accounts for fiscal year ended 09/30/13. The issue date of the audit was 08/22/2014. Sub-grantees receiving funds under this title are required to have an audit annually in accordance with the ADECA Audit Policy, as amended. ADECA's Audit Section has the responsibility for the department to ensure sub-grantee audit reports are received timely and meet applicable audit standards.

- (a) The assurance '676(b)(7);

Alabama will permit and cooperate with federal investigations undertaken in accordance with Section 678D of the Act by responding promptly to requests from the federal agency for information or other assistance.

- (b) The assurance '676(b)(8);

Any eligible entity in the State that received funding in the previous fiscal year under CSBG will not have its funding terminated or reduced below the proportional share of funding that the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act. In complying with this assurance, the State will proceed on the advice of counsel and in adherence with the CSBG Act, the Alabama State Code and ADECA's policies and procedures.

- (c) The assurance ' 676(b)(10);

The State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. As part of the work plan, each eligible entity is required to submit a narrative description which specifies how they intend to implement the above assurance. In addition, the State ensures compliance with the requirement through its contracting and monitoring requirements of local entities.

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H. Accountability and Reporting Requirements

(1) Results Oriented Management and Accountability

The State of Alabama is complying with assurance '676(b)(12) of the Act by ensuring that all eligible entities in the State are participating in the Results Oriented Management and Accountability System (ROMA) pursuant to Section 678(b) of the Act.

There are eight certified ROMA trainers throughout the State of Alabama. ROMA trainers provide training in developing, selecting and measuring outcomes. Agencies will report ROMA outcomes for CSBG service categories every quarter.

The following table identifies the outcome measures used to measure CAA performance in promoting self-sufficiency, family stability, and community revitalization.

Goal 1: Low-income people become more self-sufficient.	
1.1	
1.1 A	Unemployed and obtained a job
1.1 B	Employed and maintained a job for at least 90 days
1.1 C	Employed and obtained an increase in employment income and/or benefits
1.1 D	Achieved "living wage" employment and/or benefits
1.2	
1.2 A	Obtained skills/competencies required for employment
1.2 B	Completed ABE/GED and received certificate or diploma
1.2 C	Completed post-secondary education program and obtained certificate or diploma
1.2 D	Enrolled children in before or after school programs
1.2 E	Obtained care for child or other dependent
1.2 F	Obtained access to reliable transportation and/or driver's license
1.2 G	Obtained health care services for themselves or family member
1.2 H	Obtained and/or maintained safe and affordable housing
1.2 I	Obtained food assistance
1.2 J	Obtained non-emergency LIHEAP energy assistance
1.2 K	Obtained non-emergency WX energy assistance
1.2 L	Obtained other non-emergency energy assistance (State/local/private energy programs. Do NOT include LIHEAP or WX)
1.3	
1.3.A	Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregate dollar amount of credits
1.3.B	Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments
1.3.C	Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings
1.3.D	Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days

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1.3.E	Number and percent of participants opening an Individual Development Account (IDA) or other savings account
1.3.F	Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings
1.3.G	Number and percent of participants capitalizing a small business with accumulated IDA or other savings
1.3.H	Number and percent of participants pursuing post-secondary education with accumulated savings
1.3.I	Number and percent of participants purchasing a home with accumulated savings
1.3.J	Number and percent of participants purchasing other assets with accumulated savings
Goal 2: The conditions in which low-income people live are improved.	
2.1	
2.1 A	Jobs created, or saved, from reduction or elimination in the community
2.1 B	Accessible "living wage" jobs created, or saved, from reduction or elimination in the community
2.1 C	Safe and affordable housing units created in the community
2.1 D	Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy
2.1 E	Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination
2.1 F	Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination
2.1 G	Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination
2.1 H	Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation
2.1 I	Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post secondary education
2.2	
2.2 A	Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets
2.2 B	Increase in the availability or preservation of community facilities
2.2 C	Increase in the availability or preservation of community services to improve public health and safety
2.2 D	Increase in the availability or preservation of commercial services within low-income neighborhoods
2.2 E	Increase in or preservation of neighborhood quality-of-life resources
2.3	

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2.3A	Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives
2.3B	Number of volunteer hours donated to the agency
2.4	
2.4 A	Jobs created at least in part by ARRA funds
2.4 B	Jobs saved at least in part by ARRA funds
Goal 3: Low-income people own a stake in their community.	
3.1	
3.1	Total number of volunteer hours donated by low-income individuals to Community Action
3.2	
3.2 A	Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy setting through Community Action efforts
3.2 B	Number of low-income people acquiring businesses in their community as a result of Community Action assistance
3.2 C	Number of low-income people purchasing their own home in their community as a result of Community Action assistance
3.2 D	Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action
Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.	
4.1	
4.1	Number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes
	# Non-Profit
	# Faith Based
	# Local Government
	# State Government
	# Federal Government
	# For-Profit Business or Corporations
	# Consortiums/Collaboration
	# Housing Consortiums/Collaboration
	# School Districts
	# Institutions of post secondary education/training
	# Financial/Banking Institutions
	# Health Service Institutions
	# State wide associations or collaborations
Number of Organizational Partnerships (Total):	
Goal 5: Agencies increase their capacity to achieve results.	
5.1	
5.1	Number of human capital resources available to Community Action that increase agency capacity to achieve family and

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	community outcomes, as measured by one or more of the following:
	Number of Certified-Community Action Professionals (C-CAP)
	Number of Nationally Certified ROMA Trainers
	Number of Family Development Trainers
	Number of Child Development Trainers
	Number of staff attending trainings
	Number of board members attending trainings
	Hours of staff in trainings
	Hours of board members in trainings
Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.	
6.1	
6.1 A	Senior Citizens
6.1 B	Individuals with Disabilities
6.2	
6.2 A	Emergency Food
6.2 B	Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources
6.2 C	Emergency Rent or Mortgage Assistance
6.2 D	Emergency Car or Home Repair
6.2 E	Emergency Temporary Shelter
6.2 F	Emergency Medical Care
6.2 G	Emergency Protection from Violence
6.2 H	Emergency Legal Assistance
6.2 I	Emergency Transportation
6.2 J	Emergency Disaster Relief
6.2 K	Emergency Clothing
6.3	
6.3.A	Infants and children obtain age-appropriate immunizations, medical, and dental care
6.3.B	Infant and child health and physical development are improved as a result of adequate nutrition
6.3.C	Children participate in pre-school activities to develop school readiness skills
6.3.D	Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade
6.3.E	Youth improve health and physical development
6.3.F	Youth improve social/emotional development
6.3.G	Youth avoid risk-taking behavior for a defined period of time
6.3.H	Youth have reduced involvement with criminal justice system
6.3.I	Youth increase academic, athletic, or social skills for school success
6.3.J	Parents and other adults learn and exhibit improved parenting skills
6.3.K	Parents and other adults learn and exhibit improved family functioning skills

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6.4	
6.4 A	Enrolled children in before and after school programs
6.4 B	Obtained care for child or other dependent
6.4 C	Obtained access to reliable transportation and/or driver's license
6.4 D	Obtained health care services for themselves or family member
6.4 E	Obtained and/or maintained safe and affordable housing
6.4 F	Obtained food assistance
6.4 G	Obtained non-emergency LIHEAP energy assistance
6.4 H	Obtained non-emergency WX energy assistance
6.4 I	Obtained other non-emergency energy assistance
6.5	
6.5 A	Food Boxes
6.5 B	Pounds of Food
6.5 C	Units of Clothing
6.5 D	Rides Provided
6.5 E	Information and Referral Calls
6.5F	Health Related Service
6.5G	Bags of School Supplies
6.5H	Water

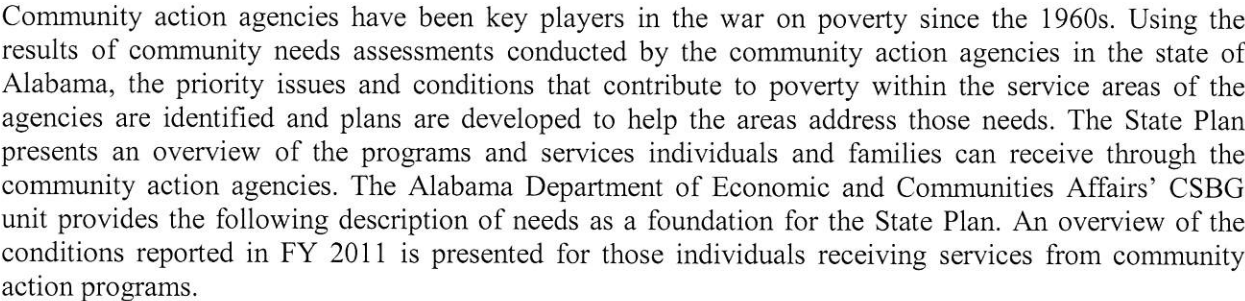
The agencies have been mandated to utilize the FACSPRO software system. All programs entered into the system have action plans. These action plans contain interventions that must be completed by selecting the appropriate National Performance Indicator, which coincides with the six national goals. National Performance Indicators can also be reported on through Mass Entry, Volunteer Entry, In-Kind Entry and Agency Information within FACSPRO. FACSPRO will pull the data that is entered into a ROMA Quarterly Report. Agency staff verifies the information in the report and submit it to ADECA. The software system works in the same manner to also create the annual IS Report.

The State will continue to engage in activities to build the agency's capacity to collect and aggregate agency level outcome data and report on ROMA measures as required by the Department of Health and Human Services, Office of Community Services.

(2)Annual Report: Section 678E(a)(2)

Our State has requested that the National Association for State Community Services (NASCCSP) provide an electronic copy of the final approved CSBG Information System (IS) Report. A copy of the request can be found in Appendix M.

Alabama is struggling with a higher than average national poverty rate of 17.4%, according to the 2010 census data. The number of Alabamians living below the national poverty level is 806,920 of which 278,150 are children under the age of 18. This makes the number of individuals living in poverty in Alabama more than the combined population of Alabama's four largest cities, Birmingham, Mobile, Montgomery, and Huntsville (766,531). Of Alabama's 67 counties, there are 15 that have over 25% of the population living below the federal poverty level.



Alabama complies with this requirement through the annual submission of the National Association for State Community Services (NASCCS) Information Systems (IS) Survey. The latest compiled annual report, FY 2013, was submitted to NASCCS in March 2013.

The performance objectives for the eligible entities in Alabama are reflected through the six ROMA goals and the sixteen national performance indicators. The State requires each eligible entity to submit in its work plan, performance targets for the number of persons they plan to serve, transition out of poverty, and /or achieve outcomes associated with each program activity.

Program accomplishments and activities covered a wide area including, but not limited to, those that addressed education, emergency services, health, housing, income management, linkages, nutrition,

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economic development and self-sufficiency. Approximately 242,000 clients benefited from these services. See section D of Alabama's IS Report, Appendix M.

- c) Comparison of Planned and Actual Expenditures for Prior Fiscal Year
1. Planned Distribution of Funds to Eligible Entities (as shown in Previous State Plan)
 2. Planned Distribution of Funds for Discretionary Purposes (as shown in previous State plan) vs. Actual Expenditures. The state does not retain discretionary funds. Alabama requires a ninety-five percent pass through of CSBG funds to the eligible entities.
 3. Planned Use of Funds for State Administration (as shown in previous State plan) vs. Actual Expenditures.

	Proposed FY 2014 (included carryover from FY 2013)	Actual FY 2013
(1) Eligible Entities	\$ 16,237,740	\$ 11,310,255
(2) Discretionary Funds	\$ -	\$ -
(3) Administrative Costs	\$ 690,747	\$ 651,816
TOTAL	\$ 16,925,487	\$ 11,962,071

- d) Profile of Participants Served (Number and characteristics of clients served).
As part of the State's Annual CSBG IS Report, client characteristics data is collected and reported by the 21 community action agencies. The information in the report reflects one or more characteristics of individual clients and households. The characteristics of clients are shown in section G of the IS report located in Appendix M.
- e) Statistical Report on CSBG Program Services
The Community Services Block Grant (CSBG) is a specially designed funding stream for community action agencies. In Alabama, 95% of the funds received are used for initiatives created by the community action agencies' local tripartite board. The boards are made up of local elected officials, community leaders, and low-income residents of the agencies' service areas.

The programs that are developed and administered with CSBG funds are unique to the needs of each community action agency. ADECA's CSBG unit is charged with oversight of the funds and monitors the agencies to ensure their compliance with regulations and their effectiveness.

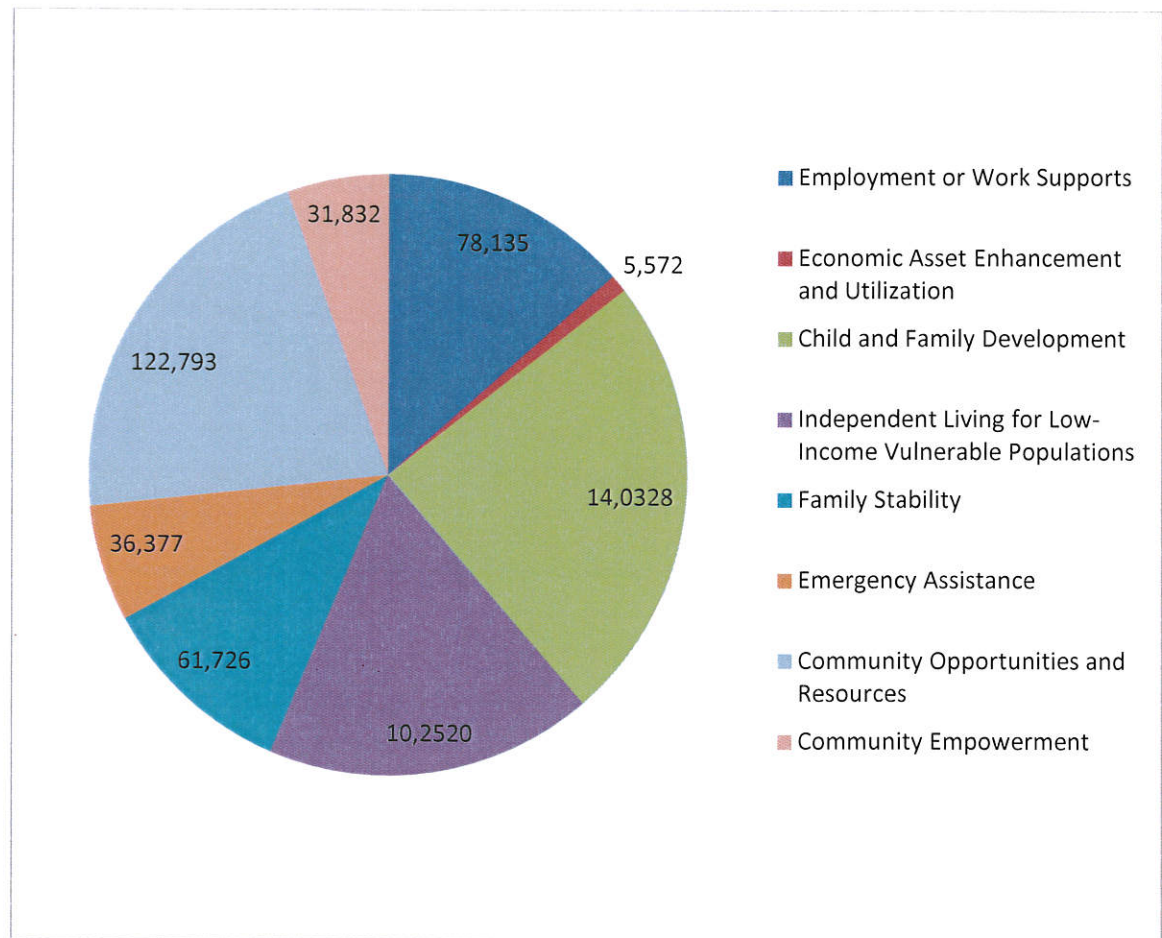
In FY 2013, Alabama's community action agencies were allocated \$11,015,866. CSBG funds, combined with other federal and state funds and local and private resources, were a total allocation of \$181,654,893 for Alabama's twenty-one community action agencies. See Appendix N. These funds were used to help:

- 241,745 individuals
- 85,470 children under the age of 18
- 50,122 seniors, 55 and over
- 52,398 individuals with disabilities

Community action agencies provide services to the most vulnerable population to help them become self-sufficient. Of the households served in FY 2013, more than 77% were below the Federal Poverty Guidelines and more than 91% were under 125% of the poverty line.

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The chart below shows that there were 579,283 performance outcomes for Alabama achieved during FY 2013. The numbers are taken from the ROMA report, Appendix M, which is based on the six national goals and outcome efforts for Employment, Emergency Services, Health, Housing, Income Management, Linkages, Nutrition, Economic Development, Self-sufficiency and Special/Innovative Programs.



(f) Due to requirements of the Code of Alabama 1975, Section 11-96-1 through Section 11-96-6 (1194), ADECA retains no discretionary funds to provide formal training. However, the following training/technical assistance was provided during FY2013 by ADECA and/or the Community Action Agency Association:

- i. Board Training – Training for the board of directors is provided at the request of the executive director or board chairperson. This training provides information on the tri-partite board, board responsibilities and functions, state expectations of board members, requirements for board meetings and board minutes, board/executive director relationship, etc.
- ii. ROMA Training – ROMA training is offered throughout the year and at the request of the agencies. This training focuses on the history of ROMA, its implementation and the core components of ROMA.
- iii. Strategic Planning – Training for the board members and executive directors to outline the planning process for successful strategic planning.

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- iv. FACSPRO Training – This training is provided at the request of the agency. It covers all aspects of the software including customer intake, programs, action plans, ROMA/IS reports and National Performance Indicators.
- v. CSBG IS Training – Partnered with the Community Action Agency Association to have NASCSP conduct CSBG IS training for all of the agencies. This training provided agencies with a better understanding of how they should be reporting their numbers on the report.
- vi. CAA Association Annual Conference – The Association’s conference is held annually with a variety of keynote speakers, breakout sessions, and networking opportunities. Examples of topics are: finance, weatherization, moving from poverty to self-sufficiency and FACSPRO, among others.
- vii. CAA Association annual Board of Directors’ Retreat offers specific training for new and existing Executive Directors consisting of leadership, management and other training addressing new laws and requirements for community action agencies
- viii. Case Management training for support staff of community action agencies consist of effective communication skills and proper customer/client interaction.
- ix. Performance training for management and support staff includes NPI data collection, performance measurement and outcomes, tools, tactics and strategies to help agencies improve targeting skills.

I. Organizational Standards Implementation

Alabama will be incorporating the Federal Organization Standards into its’ CSBG monitoring tool. The monitoring tool was presented at the Community Action Agency Association of Alabama annual conference on May 24, 2014. Comments on the tool were accepted through June 13, 2014. The monitoring tool was emailed to all executive directors on June 27, 2014. The State will begin using the monitoring tool on October 1, 2014. A copy of the implementation schedule and monitoring tool is included in Appendix O.

